

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

SECRETARY OF THE SENATE

17 MAR 24 PM 5:44

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the Office of Public Records in 232 Hart Building.

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☐ The original *Employee Pre-Travel Authorization* (Form RE-1), AND
- ☐ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): Alliance to Save Energy

Travel date(s): February 21-24, 2017 (21st -- evening travel day)/ Extended through Feb. 26th at my own expense

Name of accompanying family member (if any): _____

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate	\$366.80	\$448	\$126.80	\$17 (Whitney Museum) \$26 (One World)
<input type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	NA	NA	NA	NA
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

See attached

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3/24/27
(Date)

Ariel Marshall
(Printed name of traveler)

Ariel Marshall
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

3/24/27
(Date)

Jeanne Shaker
(Signature of Supervising Senator/Officer)

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:

17 MAR 24 PM 5:43

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the Select Committee on Ethics in SH-220. Incomplete and late travel submissions will not be considered or approved. This form must be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: Ariel Marshall

Employing Office/Committee: Office of U.S. Senator Jeanne Shaheen

Private Sponsor(s) (list all): Alliance to Save Energy

Travel date(s): February 21-24, 2017 (21st -evening travel day) / Will extend through Feb. 26th at my own expense
Note: If you plan to extend the trip for any reason you must notify the Committee.

Destination(s): New York, New York and Newark, New Jersey

Explain how this trip is specifically connected to the traveler's official or representational duties:

This trip will provide information about policies and best practices that are helping to drive advances in energy efficiency and energy production. As an advisor on energy and environment issues, this will help inform me of the latest technology and advances in the field

Name of accompanying family member (if any): None

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

1/23/17
(Date)

Ariel Marshall
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Senator Jeanne Shaheen hereby authorize Ariel Marshall
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

1/23/17
(Date)

Jeanne Shaheen
(Signature of Supervising Senator/Officer)

ADDENDUM TO EMPLOYEE POST-TRAVEL DISCLOSURE OF TRAVEL EXPENSES (FORM RE-2)

Tuesday, February 21, 2017

- No meetings held with the private sponsor.

Wednesday, February 22, 2017

- Panasonic Corporation Headquarters (Newark, NJ)
 - Panasonic is one of the largest product manufacturers in the world, comprised of 473 companies and employing over 260,000 people. The offices in Newark, NJ, which is a new building (LEED Platinum) designed to contribute to Panasonic's efforts to reduce carbon footprint by 50 percent, also hosts the Panasonic Innovation Center. During this event, we toured the Panasonic Innovation Center and learned about their technology, including home solutions to avionics, automotive, and eco solutions.
- Lime Energy (Newark, NJ)
 - Lime Energy is the leading national provider of energy savings to utility clients under Small Business Direct Install (SBDI) programs. During this event we learned about Lime Energy being a one-stop shop for the delivery of comprehensive, direct install energy efficiency services, and toured the Newark Industrial Spraying, one of Lime's clients.
- Daikin Solutions Plaza (Jersey City, NJ)
 - Daikin Applied designs and manufactures technologically advanced commercial HVAC systems for customers around the world. In fact, Daikin Industries, the parent company, is the largest HVAC manufacturer in the world. At Daikin's Jersey City offices, we attended a widely-attended industry reception that featured a panel discussion on energy efficiency leadership in the New York City area. We also toured the Daikin Solutions Plaza, which allows visitors to experience Daikin's new technologies first hand and learn more about how these products are helping to drive advances in energy efficiency and consumer comfort

Thursday, February 23, 2017

- One World Trade Center Tour (New York City, NY)
 - One World Trade Center is the newest addition to the New York City skyline and it is also setting new standards for energy efficiency and sustainability in high-rise buildings. The building recently earned LEED Gold certification and with its height at 1,776 feet, One World Trade Center is the tallest building and one of the most sustainable in the Western Hemisphere. At this event we learned how the One World Trade Center building incorporates many energy efficient products, including HVAC from Daikin and Thyssenkrupp elevators (fastest in the Western Hemisphere).

- Trane Thermal Storage Project (New York City, NY)
 - Trane, a subsidiary of Ingersoll Rand, is an HVAC company that provides services for residential, commercial and industrial customers. They have many projects in the Greater New York City area that incorporate innovative thermal storage options to save commercial customers money on heating and cooling expenses. We toured their facility.
- Whitney Museum (New York City, NY)
 - We met with the architect and energy managers for the Whitney Museum to learn about the energy efficiency retrofits performed for the building.
- New York State Energy Research and Development Authority (NYSERDA) (New York City, NY)
 - NYSERDA is the key state agency that promotes the use of energy efficiency and renewable energy, which achieves its goal of reducing greenhouse gas emissions, accelerating economic growth and reducing customer energy bills. NYSERDA's involvement in energy efficiency is significant and spreads across a diverse set of programs, but one of the biggest projects is Reforming the Energy Vision (REV). We were briefed by NYSERDA representatives about the energy efficiency projects planned for the city.

Friday, February 24, 2017

- Grand Central Station (New York City, NY)
 - At Grand Central Station, we met with the Metropolitan Transportation Authority (MTA), North America's largest transportation network, serving a population of 15.3 million people in the 5,000-square-mile area fanning out from New York City through Long Island, southeastern New York State, and Connecticut. Due to its sheer size, MTA has a lot of energy savings potential that can be realized through energy efficiency. In 2015, MTA completed its largest energy efficiency project at Grand Central Station, which we toured. This project, which cost \$25 million, is expected to save \$2.5 million and reduce greenhouse gas emissions by 11,200 tons annually.
- William Buck Elementary School (Valley Stream, NY)
 - At the school we received a presentation from American Water about the geothermal project installed on the school's campus. American Water provides high-quality water and wastewater services to approximately 15 million people in more than 1,600 communities in the United States as well as parts of Canada. American Water recently completed a pilot project at William Buck Elementary that incorporated a geothermal system into a local elementary school.
- Norman Towers (Jamaica, NY)
 - At Norman Towers, we visited with the Bluestone Organization, a local real estate developer, which has developed several high-efficiency apartment buildings in the NYC area. As part of Bluestone's initiative to protect the environment, Norman Towers boasts state-of-the-art, energy efficient central air and heating, lighting and appliances, helping to conserve energy as well as add money-saving value to residents. Energy efficiency, especially in residential apartment buildings, can be tough to incorporate so this will offer a great example of how such projects can be completed.

Tuesday, February 21st	
6:05 PM	Depart Union Station for Newark Penn Station (Newark, NJ) Amtrak 138 Northeast Regional Train (Tickets not yet purchased)
9:11 PM	Arrive at Newark Penn Station
9:15 PM	Shuttle from Airport to Hotel
9:20 PM	Arrive at Hotel Indigo 810 Broad Street Newark, NJ 07102
Wednesday, February 22nd	
8:30 AM	Wakeup Call and Breakfast
9:00 AM	Depart for Panasonic Corporation Headquarters – Panasonic Innovation Center <i>Walk or Cab</i>
9:15 AM	Arrive at Panasonic Corporation Headquarters 2 Riverfront Plaza Newark, NJ 07102 <i>Mark Sharp, Group Manager, Panasonic</i> Presentation on Panasonic and its investment in energy efficient products, for its own business as well as businesses and homeowners around the world. Tour of the Panasonic Innovation Center, which allows people to witness explore new technologies for use both in business and the home in action.
10:45 AM	Depart for Lime Energy
11:00 AM	Arrive at Lime Energy Headquarters 100 Mulberry Street Newark, NJ 07102 <i>Adam Procell, President and CEO, Lime Energy</i> <i>Lloyd Kass, Vice President, Lime Energy</i> Presentation on Lime Energy's business model and how the company is able to leverage existing financial resources to help small and medium sized businesses fund energy efficiency projects. This is important because these businesses rarely have people dedicated to energy efficiency and each situation is different, which is why flexible funding mechanisms are critical in this sector. We will then have lunch at Lime Energy's headquarters before doing a site visit of one of their projects.
12:30 PM	Depart for Newark Industrial Spraying (Lime Energy project)
1:00 PM	Tour of Lime Energy Project at Newark Industrial Spraying 12 Amsterdam Street Newark, NJ 07105 <i>Adam Procell, President and CEO, Lime Energy</i> <i>Lloyd Kass, Vice President, Lime Energy</i>
2:30 PM	Depart for Daikin Solutions Plaza
3:00 PM	Arrival at Daikin Solutions Plaza for Policy Perspectives briefing (more information included below) 10 Exchange Place, 21 st Floor Jersey City, NJ 07302 Policy Perspectives is an event series that the Alliance hosts throughout the year.
5:00 PM	Tour of Daikin Solutions Plaza <i>Greg DiNardo, Solutions Plaza Manager</i>

	Presentation and tour at the Daikin Solutions Plaza. Daikin is an HVAC manufacturer and the Solutions Plaza is a showcase for Daikin technology and allows visitors to learn more about the product and how it works.
7:00 PM	Depart for hotel Hyatt Regency Jersey City on the Hudson 2 Exchange Place Jersey City, NJ 07302
Thursday, February 23rd	
8:00 AM	Wakeup Call and Breakfast
8:30 AM	Depart Hotel for One World Trade Center Tour with Daikin and Thyssenkrupp
9:00 AM	Arrive at One World Trade Center for Tour with Daikin and Thyssenkrupp 285 Fulton Street New York, NY 10007 <i>Greg DiNardo, Solutions Plaza Manager</i> <i>Angellika Morton, Coordinating Manager</i> <i>Matt Wright, Operations Manager</i> The visit to the One World Trade Center includes several facets: it will be a continuation of the Daikin visit to see Daikin HVAC systems in a real-life setting, it will allow us to learn about the Thyssenkrupp elevators that are used in the building, which are some of the fastest and most energy-efficient in the world, and to learn about the sustainable design principles used when constructing the building.
10:30 AM	Depart for Trane Thermal Storage Project
11:00 AM	Arrive at Trane Thermal Storage Project 55 Water Street New York, NY 10041 <i>Brenda Amarant, Marketing Leader for Trane NY/NJ</i> <i>Andrew Merrill, General Sales Manager – NYC</i> Trane, a subsidiary of Ingersoll Rand, is another company known for its HVAC systems, but also installs systems that operate using thermal storage. These systems create ice during the night when electricity is cheaper and use it to cool the building during the day. This method serves as an alternative to traditional air conditioning systems and also offers improvements in energy efficiency.
12:30 PM	Lunch at Whitney Museum 99 Gansevoort Street New York, NY 10014
1:30 PM	Tour of Whitney Museum's energy efficiency and resiliency efforts <i>Peter Scott, Director of Facilities</i> <i>David Selimoski, Engineering Manager</i> As a museum, the Whitney Museum has a fairly unique situation when it comes to energy efficiency, at least compared to the average building. This includes handling large crowds, additional security, specific conditions required for protecting the artwork from environmental damage, etc. This visit will include a meeting with the building engineers and a brief tour of the building.
2:30 PM	Depart for NYSERDA
3:00 PM	Arrive at NYSERDA for Roundtable Discussion with NYSERDA, NYPA, City of New York and NYCEEC (involved in project implementation, financing, etc.) 1359 Broadway

	<p>New York, NY 10018</p> <p><i>John Rhodes, President and CEO (NYSERDA)</i></p> <p><i>John Williams, Director of Energy Analysis (NYSERDA)</i></p> <p><i>Arun Vedhathiri, NYE Energy Manager Program (NYPA)</i></p> <p><i>John Lee, Deputy Director for Green Buildings and Energy Efficiency (NYC Mayor's Office of Long Term Planning and Sustainability)</i></p> <p><i>Susan Leeds, CEO (NYCEEC)</i></p> <p><i>Jessica Luk, Director of Communications and Development (NYCEEC)</i></p>
5:00 PM	<p>Depart for hotel</p> <p>Courtyard New York Manhattan/Fifth Avenue</p> <p>3 E 40th Street</p> <p>New York, NY 10016</p>
Friday, February 24th	
8:00 AM	Wakeup Call and Breakfast
8:30 AM	Depart for Grand Central Station
9:00 AM	<p>Arrive at Grand Central Station for Tour with NYPA and MTA</p> <p>89 E 42nd Street</p> <p>New York, NY 10017</p> <p><i>Peter Bass, Director of Environmental and Energy Policy (MTA)</i></p> <p><i>Christine Keta, Manager of Program Operations and Administration (NYPA)</i></p> <p>Grand Central Station offers us the ability to learn about building energy efficiency in a historic building, which poses unique challenges, and also to learn about transportation via the Metropolitan Transportation Authority, which operates the largest metro system in the world.</p>
11:30 AM	Depart Grand Central Station for Valley Stream American Water Geothermal Pilot Project
12:15PM	<p>Arrive at Project Site (William Buck Elementary School) for lunch, presentation and tour</p> <p>75 Horton Ave</p> <p>Valley Stream, NY 11581</p> <p><i>Joseph Szafran, External Affairs Manager for American Water</i></p> <p>Presentation and tour of the project to learn about this geothermal pilot project. The project utilizes a new method for geothermal systems that maintains functionality while reducing installation costs. This is a demonstration project to prove that the concepts can in fact work and generate energy savings.</p>
2:15 PM	<p>Depart Valley Stream for Jamaica, Queens</p> <p><i>Bus Company TBD</i></p>
3:00 PM	<p>Arrive at Norman Towers (Bluestone Organization project) for tour of sustainable apartment building</p> <p>90-14 161st Street</p> <p>Jamaica, NY 11432</p> <p><i>Eric Bluestone, Partner at The Bluestone Organization</i></p> <p>Energy efficiency in the residential sector is very difficult because of the high upfront costs that most families cannot afford. This visit and tour will provide participants with insights into why The Bluestone Organization develops energy-efficient apartment buildings and how they are able to cover the additional costs.</p>
4:45 PM	Depart Norman Towers for Industry City Distillery Penn Station
4:30 PM	Arrive at Industry City Distillery for tour of energy and water efficiency measures

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The following staff members have been invited to participate on this trip.

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- Leads worldwide energy efficiency initiatives in policy advocacy, research, education, technology deployment and communications that impact all sectors of the economy.
- Provides vision and activism which includes active and engaged members of Congress, leaders from business, the public interest sector and academia.
- Initiates and participates in public-private partnerships, collaborate efforts and strategic alliances to optimize resources and expand its sphere of influence.
- Executes its mission through a team of recognized energy efficiency experts and professionals.

14.

The Alliance has previously sponsored several Congressional field trips.

- Field trip to Boston, Massachusetts that took place from August 10-12, 2016.
- Field trip to San Francisco Bay Area that took place from August 12-14, 2015.
- Field trip to Hartford, CT on August 22-23, 2012 (including travel days).
- Field trip to Denver, CO on January 11-13, 2012 (including travel days).
- Field trip to Philadelphia, PA on August 26, 2011.
- Field trip from August 28, 2005 – September 2, 2005 to:
 - Berlin, Germany
 - Stuttgart, Germany
 - Brussels, Belgium
 - Terneuzen, Netherlands

- Rotterdam, Netherlands
 - Amsterdam, Netherlands
- Field trip to New York and California that took place from November 30, 2004 – December 3, 2004.

15.

- **Congressional Briefings**
 - We host Congressional briefings throughout the year, which typically focus on a particular aspect related to energy efficiency.
 - January 14, 2016: Cutting Edge Technologies and Businesses: Opening the Door for Energy Efficiency Deployment at Scale
 - February 26, 2016: The Role of Benchmarking, Transparency and Codes in Driving a More Efficient Built Environment.
- **Energy Efficiency Global Forum**
 - An annual event convened in Washington, DC that brings together executives and policymakers from around the world and across sectors to discuss energy efficiency. In 2016, this exclusive forum explored how utilities, regulators, legislators and companies are incorporating cost-effective energy efficiency measures into their business to help meet increasing demand. The next EE Global Forum is scheduled for May 8-9, 2017 in Washington, DC.
- **Accelerate Energy Productivity 2030**
 - A partnership between the U.S. Department of Energy, Alliance to Save Energy and Council on Competitiveness to catalyze action in the public and private sectors to help achieve the goal of doubling our nation's energy productivity.
 - As part of this initiative, three webinars were held in April to provide an in-depth look at several unique aspects of energy efficiency:
 - April 13, 2015: Building Technologies and Finance
 - April 20, 2015: Smart Grid and Smart Manufacturing
 - April 27, 2015: Transportation and Water
- **Energy 2030 Events**
 - *Energy 2030 On the Road* – These are education, outreach and action campaigns aimed at urging communities through the nation to adopt the goal of doubling U.S. energy productivity. They are held around the country and last year included stops in Seattle, WA, Raleigh, NC and Minneapolis, MN. They follow the same format of other events where panelists discuss a specific theme of energy efficiency and are widely attended by members of local governments, academia, local and state government and the surrounding community.
- **Policy Perspectives Breakfasts**
 - Breakfast sessions where we invite a representative from a Federal agency or Congressional office (Senator/Congressman) to come and speak about priorities or updates regarding energy efficiency for the respective agency or office. There are plans for several of these events in 2017, including in Washington, DC and around the country.

18.

There are several reasons why we have chosen New Jersey and New York as the destination for this trip.

- The American Council for an Energy-Efficiency Economy (ACEEE) produces the annual State Energy Efficiency Scorecard, which ranks states based on energy efficiency policies and practices. New York has consistently been in the Top 10 (5th in 2016) of these rankings for the last several years while New Jersey ranked 24th in 2016. The pairing of these two states will give trip participants a more complete view by include a state that consistently ranks near the top (New York) and one that has made significant improvements in recent years (New Jersey). In addition to the state ranking, ACEEE also ranks a selection of major cities on the same criteria and New York City was ranked #2 in 2015. Therefore, New York City is an excellent option for such a trip because we can incorporate strong local level actions along with the broader state-level actions.
- The Alliance to Save Energy is also hosting a public briefing in Jersey City on February 22nd, which will be included as part of the agenda. The briefing is entitled, “Policy Perspectives: Energy Efficiency Leadership in the New York Metro Area,” and will feature speakers from state and local government, regional organizations and local business leaders. A full agenda for the event is included below.
- The Greater New York City area boasts a wide range of field examples and opportunities to learn about energy efficiency in a relatively small geographical footprint.
 - Panasonic Corporation
 - Panasonic is one of the largest product manufacturers in the world, comprised of 473 companies and employing over 260,000 people. The offices in Newark, NJ, which is a new building (LEED Platinum) designed to contribute to Panasonic’s efforts to reduce carbon footprint by 50%, also hosts the Panasonic Innovation Center. The central focus of the Innovation Center is displays of solutions designed for business users. The Innovation Center introduces the company’s latest technologies, vision, and history. It is divided into various different areas to promote Panasonic’s wide range of B2C and B2B fields, from home solutions to avionics, automotive, and eco solutions.
 - Lime Energy
 - Financing for energy efficiency is often the most difficult aspect of a project, especially for small businesses. Lime Energy is the leading national provider of energy savings to utility clients under Small Business Direct Install (SBDI) programs. They accomplish this by being a one-stop shop for the delivery of comprehensive, direct install energy efficiency services.
 - Daikin Solutions Center
 - Daikin Applied designs and manufactures technologically advanced commercial HVAC systems for customers around the world. In fact, Daikin Industries, the parent company, is the largest HVAC manufacturer in the world. The Jersey City offices are home to the Daikin Solutions Plaza, which allows visitors to experience Daikin’s new technologies first

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Address: 810 Broad Street, Newark, NJ 07102

Address: 2 Exchange Place, Jersey City, NJ 07302

Address: 3 E 40th Street, New York, NY 10016

We will be staying at three hotels over the course of this trip.

- The Hotel Indigo was able to meet the GSA rate of \$140 per night and could accommodate the size of our group. It is close to the train station and to the first item on the agenda the following morning.

- The Hyatt Regency was able to meet the GSA rate of \$140 per night and could accommodate the size of our group. It is close to the last event of the day and also provides easy access to downtown NYC via public transportation for the continuation of the trip the following morning.

- The Courtyard New York Manhattan/Fifth Avenue was able to meet the GSA rate of \$168 and could accommodate the size of our group. It is located very close to Grand Central Station, which is where we will start the following day.

21.

For the purposes of this trip, the cost of meals and other incidental expenses will remain within the per diem limit set by the General Services Administration (GSA).



Using less. Doing more.

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American Water
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Whirlpool Corporation
Dr. Susan Tierney
Analysis Group
Marc Ulrich
Southern California Edison
Clinton Vince
Dentors

January 17, 2017

Ariel Marshall
Legislative Assistant
U.S. Senator Jeanne Shaheen
506 Hart SOB
Washington, DC 20510

Dear Ariel:

The Alliance to Save Energy invites you to join us on a fact-finding trip to Newark, NJ and New York, NY to learn about policies and best practices that are helping to drive advances in energy productivity across the country. As currently planned, this trip will include visits throughout the Greater New York City area and is scheduled for February 22-24, 2017. We have invited staff members from both sides of the aisle and from both Chambers to participate, to ensure well-rounded and robust discussions. A preliminary agenda, yet to be finalized, is attached with this invitation.

During this three-day trip, we will visit building retrofit projects, one of the most energy efficient skyscrapers in the world, a geothermal pilot project, and an energy efficient distillery to explore the advances in energy efficiency businesses have made in their manufacturing processes, buildings and sustainability practices. We also plan to learn from discussions with local officials and members of the New York Power Authority, New York State Energy Research and Development Authority and Mayor of New York City Bill De Blasio's office.

This fact-finding mission is an excellent opportunity for Congressional staff to learn about state activities and businesses' progress to improve their energy productivity. The exchange can be used to develop, refine and advance policies at the federal, state and local levels.

Thank you in advance for your consideration. We expect a significant level of interest in this trip and, with limited capacity, we encourage you to respond at your earliest convenience as we will be accepting participants on a first-come, first-served basis. To meet the requirements set by the Ethics Committee, we will finalize the agenda and attendee list by January 13. If you would like to join us, or have any questions regarding the trip, please feel free to get in touch with Reed Brown, the Alliance's Senior Policy Associate, at rbrown@ase.org or (202) 530-2241.

Best,

Kateri Callahan
President, Alliance to Save Energy

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors): Alliance to Save Energy
2. Description of the trip: A fact-finding trip to New York and New Jersey to learn about policies and best practices that are helping to drive advances in energy efficiency and energy productivity.
3. Dates of travel: February 21-24, 2017 (21st - evening travel day)
4. Place of travel: New York, New York and Newark, New Jersey
5. Name and title of Senate invitees: Please see attached
6. I *certify* that the trip fits one of the following categories:
 - ☐ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
 - =OR=**
 - ☒ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
 - =AND=**
 - ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
 - ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
 - =AND=**
 - ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. USE ONLY IF YOU CHECKED QUESTION 6(B)

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

- ☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

OR

- ☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

OR

- ☒ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. USE ONLY IF YOU CHECKED QUESTION 9(B)

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

Please see attached.

[illegible]

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

Please see attached.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

Please see attached.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

Please see attached.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$250	\$448	\$260	

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip involves an event that is arranged or organized specifically with regard to congressional participation.

18. Reason for selecting the location of the event or trip

Please see attached.

19. Name and location of hotel or other lodging facility:

Guests will be staying at 3 different hotels for this trip, which are listed in the attached document.

20. Reason(s) for selecting hotel or other lodging facility:

Please see attached.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Please see attached.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Attendees will use trains to reach NY/NJ, which will be coach.

To attend sites in the greater NYC area we will use public transit, mini bus or taxis for transportation.

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

No entertainment will be provided to, paid for or reimbursed to Senate invitees by the Alliance to Save Energy.

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: 

Name and Title: Kateri Callahan, President

Name of Organization: Alliance to Save Energy

Address: 1850 M Street, NW, Suite 610, Washington, DC 20036

Telephone Number: (202) 857-0666

Fax Number: (202) 334-9588

E-mail Address: kcallahan@ase.org

Private Sponsor Certification - Page 4 of 4